

SYSTEM AND METHOD FOR AUTOMATED DOCUMENTATION
FOR SOLICITED TRADES

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5 ABSTRACT OF THE INVENTION

10 A system and method are provided that allow for automated documentation of all advice interactions between broker representatives on one end and clients, or prospective clients, on the other. This is accomplished by providing a computer system for storing appropriate data for each advice interaction with a client. The advice interaction data can be used to assess compliance with existing regulations, as well as for analytical and training purposes.